

# Classified Performance Appraisals

## *NP-3 Administrative Clerical*

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Presented by the Office of Faculty & Staff Labor Relations and  
the Department of Human Resources

# What is a Performance Appraisal?

- A written evaluation of the employee's performance over a specified time period



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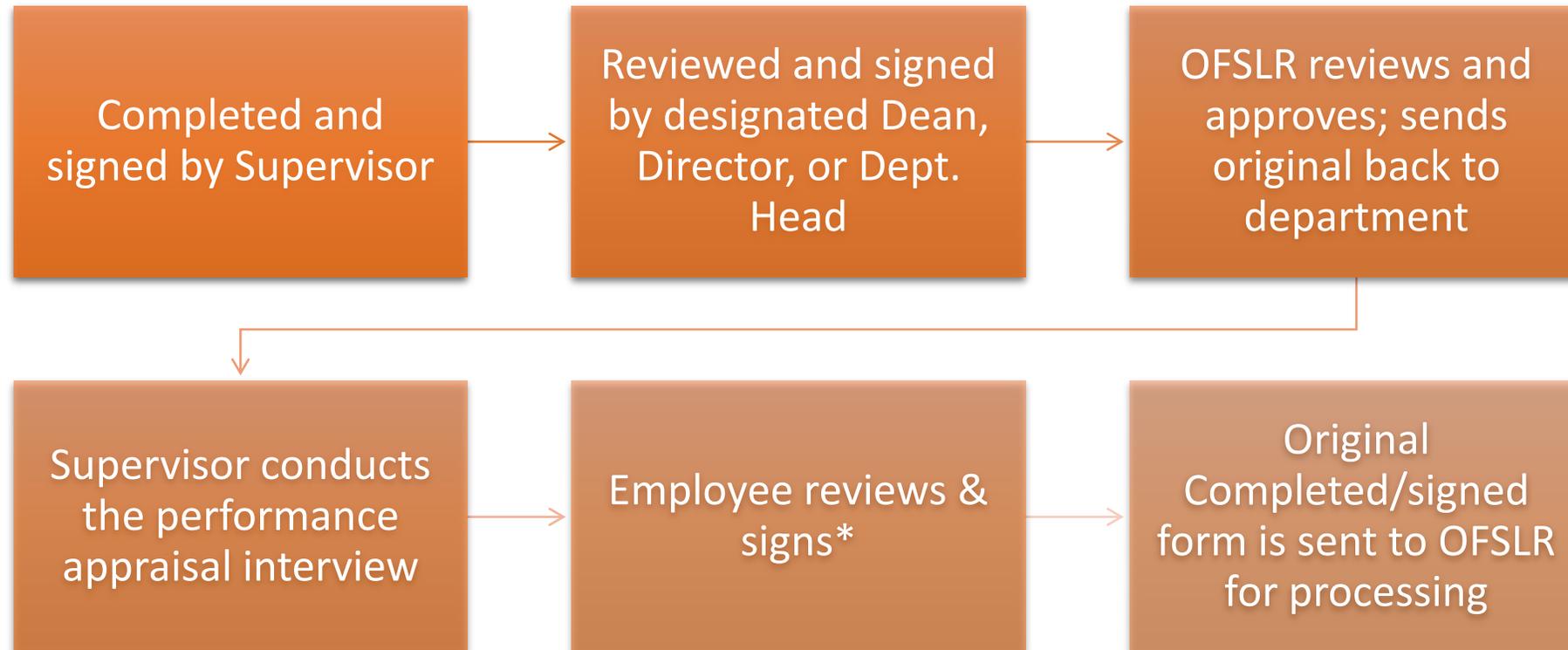
# When should performance appraisals (PAs) be conducted?

1. Before the end of an initial or promotional working test period
2. Annually, by October 1<sup>st</sup> (annual increments are awarded on January 1<sup>st</sup>)
3. As needed:
  - To address specific performance issues
  - To recognize performance improvement
  - To restore an annual increase
4. At such times as it is determined that the quality of service of an employee should be recorded; at the discretion of the supervisor

# When do I prepare an annual evaluation?

- **By August 1 to August 31:** Supervisor prepares the performance appraisal (PA) by completing the form
- **September 1 to September 15:** Appropriate Dean, Director, or Department Head review and approve. Make changes if necessary.
- **On or before September 15:** Completed PA is sent to Labor Relations for review and approval. The LR-approved PA is returned to the supervisor to review with the employee
- **Before October 1<sup>st</sup>:** Supervisor & the employee review the PA and the employee signs it
- **Before October 1<sup>st</sup>:** the fully signed PA is sent to Labor Relations for processing and filing in the official personnel record

# Performance Appraisal Process



\*Employees should be reminded that their signature does not necessarily indicate approval or agreement with the rating, only that they have seen it. If an employee refuses to sign the rating, the employee's union steward is required to sign the same rating and be provided with a copy. If the union steward is unavailable, the supervisor should attach a note to the original copy, which will be filed in OFSLR, indicating that the rating was discussed with the employee on that date, but the employee refused to sign.

# Purpose: Why do we do performance appraisals?

- PAs are an opportunity for supervisors to provide employees with a knowledge of their performance over time.
- The interview to discuss the PA with the employee should be private; enough time should be allotted for a real conversation.
- This is the opportunity for the supervisor to:
  - Identify strengths and/or areas of concern
  - Clarify job expectation
  - Coach and counsel
  - Provide positive feedback for satisfactory performance
  - Discuss problem areas with employees whose performance is less than good
- Remember to provide specific examples rather than speaking in general terms.

# Performance Appraisal Interview

- Opportunity for the manager to:
    - Set goals for the upcoming year
    - Review goals met for past evaluation year
    - Provide positive feedback and communicate areas of improvement
  - Opportunity for the employee to:
    - Ask their supervisor for tips or other guidance on how to be successful in their position
    - Ask how to progress through the ranks of the department
- **Reminder: always conduct in private**

# Performance Appraisal vs. Discipline

Performance appraisals are not discipline and should not be used as a punitive tool. Discipline should be handled at the time of the incident, not the annual performance appraisal.

- Instead, performance appraisals:
  - Serve as a written culmination of on-going feedback and observations documented throughout the evaluation period
  - May be used to point out areas of weakness and to counsel on corrective action
  - Final outcome should not come as a surprise to employee
- However, progressive discipline may be warranted when:
  - There are performance problems, attendance problems, misconduct, or issues and must be addressed in a timely manner
  - Should discipline be issued, it may be used to support “less than good” ratings in the evaluation; however, it is a separate process

# What do I put in a performance appraisal?

## Evaluating Performance-Supervisor Best Practices

- Supervisors should evaluate regularly and avoid only providing feedback annually
  - Coach and counsel
  - Positive and constructive feedback
  - Allow a space for employees to approach with questions or feedback
  - Model behavior
  - Fair and impartial with evaluations
  - Consistent in addressing performance
- Avoid making comments in performance appraisal that are inconsistent with the rating
- Performance appraisal interviews:
  - Should not be the first employee learns of problems
  - Should be a review of conversations that have already taken place throughout the evaluation period
- If discipline has been issued during the evaluation period, it should be reflected in the service rating

# Performance Appraisal

## Initial Working Test Period

- Permanent positions are required to serve an initial six (6) month working test period
- For satisfactory performance, the PA should be filled out not less than two (2) weeks prior to the end of the working test period
- Failure to complete the evaluation will default employees to permanent
- Crucial for supervisors to address performance or attendance problems during the working test period as soon as possible
  - Ideally, at the first sign of problems in performance or attendance the supervisor should document this in their own files
  - If the employee's performance does not improve, **he/she can be dismissed at any time during the working test period**
- Important note: please do not wait until the end of the working test period to address poor performance or attendance issues
- For unsatisfactory performance during the working test period, the Office of Faculty & Staff Labor Relations should approve the evaluation prior to sharing with the employee

# Performance Appraisal Promotional Working Test Period

- Employees promoted will serve a four (4) month promotional working test period
- For employees who successfully complete their promotional working test period, a PA should be filed at the end of the four (4) month period
- For an employee whose performance has been less than good, failure of a promotional working test period has varying implications
- Failure to complete evaluation will default employees to permanent

# Performance Appraisal Working Test Period Extensions

- Extensions

- Initial and promotion
- Extensions do not normally extend beyond three (3) months, but may be as long as six (6) months
- Common reasons:
  - Completing skills training
  - Not sufficient time to observe performance
  - On a performance improvement plan

➤ Requests must be submitted to the Office of Faculty & Staff Labor Relations four (4) weeks prior to the end of the working test period

# Points for filling out the form

- The Performance Appraisal form has been provided to you so that you may review it during this presentation. It is PER-126.
- It is a State of Connecticut form that the Department must use for annual evaluations.
- There are “Job Elements” that require ratings of 3 levels of “Good” and 2 levels of “less than good.” Only check one box!
- You may add “Other Elements” if there are other elements of job performance that are not included but are job related (i.e. problem solving, supervisory ability, dependability, etc).
- Comments are encouraged on all elements of performance, but are required on only those elements rated “fair” or “unsatisfactory”
- If an employee has moved departments during the rating period, it is the responsibility of the current department to conduct the annual PA. The current supervisor may wish to consult with the previous supervisor to help determine the appropriate rating.

# Performance Appraisal PER-126 Form, Pg. 1

Print Form



State of Connecticut Human Resources  
**Employee Service Rating**  
**Administrative and Clerical (NP-3) Unit**

Form #: PER-126  
Revision Date: 9/23/2003

Period Covered: From  To

EMPLOYEE NAME	TITLE	DATE
DIVISION	DEPARTMENT	

### INSTRUCTIONS

Evaluate the employee on the job now being performed. Check the box above the horizontal line that most nearly coincides with your overall judgment of each quality. The care and accuracy with which this appraisal is made will determine its value to you, to the employee and to the agency.

Employee info and period covered (9/1/yyyy-8/31/yyyy)

# Performance Appraisal PER-126 Form, Pg. 1 Continued

## INSTRUCTIONS

Evaluate the employee on the job now being performed. Check the box above the horizontal line that most nearly coincides with your overall judgment of each quality. The care and accuracy with which this appraisal is made will determine its value to you, to the employee and to the agency.

Job elements and ratings

JOB ELEMENTS	LESS THAN GOOD				
	EXCELLENT	VERY GOOD	GOOD	FAIR	UNSATISFACTORY
<b>KNOWLEDGE OF WORK:</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Consider knowledge of job gained through experience, general education, specialized training	Well informed on all phases of work	Knowledge thorough enough to perform without assistance	Adequate grasp of essentials, some assistance	Requires considerable assistance	Inadequate knowledge
<b>QUANTITY OF WORK:</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Consider the volume of work produced under normal conditions. Disregard errors.	Rapid worker unusually large volume	Turns out large volume	Average	Volume below average	Very slow worker
<b>QUALITY OF WORK:</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Consider neatness accuracy and dependability of results regardless of volume	Exceptionally accurate	Seldom necessary to check work	Acceptable, usually neat, few errors	Often unacceptable. Frequent errors or rejections	Too many errors or rejections
<b>ATTENDANCE:</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Consider tardiness and occasions of absenteeism	Rarely late, rarely absent	Very seldom late, seldom absent	Seldom late, absent only occasionally	Frequently tardy or routinely absent	Habitually tardy or excessive absenteeism
<b>ABILITY TO DEAL WITH PEOPLE:</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Relationships with other staff and the public. Consider harmony in and outside the work unit.	Brings credit to state service through cooperative dealings with staff and public	Harmonious relationships with staff and/or public	Adequate work relationships with staff and/or public	Reluctant to cooperate with staff and/or public	Creates problems through personal interaction with staff and/or public
<input type="checkbox"/> INITIAL PROBATIONARY <input type="checkbox"/> ANNUAL <input type="checkbox"/> PROMOTIONAL <input type="checkbox"/> OTHER (Specify)					

Type of performance appraisal

# Performance Appraisal

## Consequences of “Less Than Good” and “Unsatisfactory” ratings

- A “Less Than Good” performance appraisal may mean that an employee is not eligible for an anniversary increase, promotion or transfer. The supervisor should make it known to the Office of Faculty and Staff Labor Relations ([laborrelations@uconn.edu](mailto:laborrelations@uconn.edu) or 486-5684) if an increase is to be denied for a LESS THAN GOOD rating.
- An “Unsatisfactory” rating may result in the denial of an increase. Two consecutive unsatisfactory ratings, filed within two years of each other, may be cause for dismissal.

# Performance Appraisal

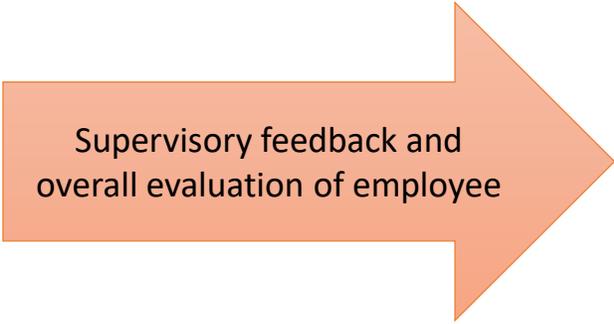
## “Less Than Good” Performance

- Before filing a "less than good" performance appraisal, supervisors should call the Office of Faculty and Staff Labor Relations at ext. 5684 or laborrelations@uconn.edu for guidance.
- Supervisors should be able to answer "yes" to the following questions before filing a "less than good" rating:
  1. Is the employee working within his/her job specification?
  2. Have the University's and the department's rules, regulations and policies been explained to the employee? Is there documentation as to when and how?
  3. Has the employee been given adequate training in order to perform his/her duties?
  4. Have performance problems been pointed out to the employee and suggestions for improvement been made? Is there documentation to show dates of counseling sessions and progressive discipline? Has a letter of warning specifically referencing the possibility of a "less than good" rating been given to the employee?
  5. Has the employee been given sufficient time and opportunity to improve his/her performance?
  6. Is the rating an objective evaluation?

# Performance Appraisal Evaluating Attendance

- Attendance rating based on:
  1. The number of days and occasions used on the Sick Leave Usage Table attached to the University's Sick Leave Policy,
  2. An employee's tardiness record, and
  3. Any unauthorized leave
- Excessive use of sick leave should be evaluated considering the following factors:
  1. Number of days taken, and number of occasions
  2. Patterns of usage
  3. The employee's past record
  4. The reasons for sick leave use
  5. Extenuating circumstances
- For employees whose attendance needs improvement, copies of counseling letters and/or medical certificate requirements and warnings should be attached to the rating.

# Performance Appraisal PER-126 Form, Pg. 2



- Please be sure to take into consideration discipline that has been documented for this evaluation period

**OTHER ELEMENTS:** Consider other elements of job performance that are not included but are job related, i.e. problem solving, supervisory ability, dependability, judgment etc.

	EXCELLENT	VERY GOOD	GOOD	FAIR	UNSATISFACTORY

**OVERALL EVALUATION**

<b>EXCELLENT</b>	<input type="checkbox"/>	Excellent in all elements
<b>VERY GOOD</b>	<input type="checkbox"/>	No fair elements and majority of items rated very good or better
<b>GOOD</b>	<input type="checkbox"/>	Most elements rated good or one element rated fair
<b>FAIR</b>	<input type="checkbox"/>	No unsatisfactory elements 2 or more elements rated fair
<b>UNSATISFACTORY</b>	<input type="checkbox"/>	One or more elements rated unsatisfactory

**COMMENTS (Instructions):** Comments are encouraged on all elements of performance, but are required on only those elements rated **FAIR OR UNSATISFACTORY**

# Overall Rating

- You will then give an overall evaluation of the employee. You may select:
  - Excellent
  - Very Good
  - Good
  - Fair
  - Unsatisfactory
- Only fair or unsatisfactory ratings may be grieved

## “Fair” or “Unsatisfactory” Ratings

- A rating of “unsatisfactory” in one category or “fair” in two categories means that the appraisal is considered “less than good”, and you may only make the overall rating “fair” or “unsatisfactory”
- When deciding eligibility for an annual increment, a single unsatisfactory or two (2) fair ratings may be considered grounds for denial of such step

# Performance Appraisal PER-126 Form, Pg. 2

Supervisor who completes the evaluation

<b>RATED BY:</b>	SIGNATURE	TITLE	DATE
<b>REVIEWED BY:</b>	SIGNATURE	TITLE	DATE
<b>APPROVED BY:</b>	SIGNATURE	TITLE	DATE
<b>EMPLOYEE:</b>	SIGNATURE	TITLE	DATE

**NOTE TO EMPLOYEE:** *Your signature confirms that you have seen this report and discussed it with your supervisor. It does not indicate your agreement.*

Appropriate Dean, Director , or  
Department Head

**Please leave blank; this will be signed off by  
the Office of Faculty & Staff Labor Relations  
prior to review with the employee**

Questions?



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